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PTO/SB/21 (08-00)

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# TRANSMITTAL FORM

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Total Number of Pages in This Submission

Application Number

09/954,831

Filing Date

September 18, 2001

First Named Inventor

Thomas H. Baum

Group Art Unit

2811

Examiner Name

TBA

Attorney Docket Number

ATMI-510-CIP

## ENCLOSURES (check all that apply)



Fee Transmittal Form



Fee Attached



Amendment / Reply



After Final



Affidavits/declaration(s)



Extension of Time Request



Express Abandonment Request



Information Disclosure Statement



Certified Copy of Priority Document(s)



Response to Missing Parts/  
Incomplete Application



Response to Missing Parts  
under 37 CFR 1.52 or 1.53



Assignment Papers  
(for an Application)



Drawing(s)



Licensing-related Papers



Petition



Petition to Convert to a  
Provisional Application



Power of Attorney, Revocation  
Change of Correspondence  
Address



Terminal Disclaimer



Request for Refund



CD, Number of CD(s)



After Allowance Communication  
to Group



Appeal Communication to Board of  
Appeals and Interferences



Appeal Communication to Group  
(Appeal Notice, Brief, Reply Brief)



Proprietary Information



Status Letter



Other Enclosure(s) (please  
identify below):

Copy of one (1) Reference

Remarks

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FEB 04 2003

TC 1700

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm

or

Individual name

Margaret Chappuis

Signature

*Margaret Chappuis*

Date

January 24, 2003

## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited pursuant to 37 C.F.R. 1.8 in an envelope addressed to:  
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#4

ATMI-510 CIP  
Customer ID No.: 25559

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Thomas H. Baum

Group Art Unit: 2811

U.S. Application No.: 09/954,831

Examiner: TBA

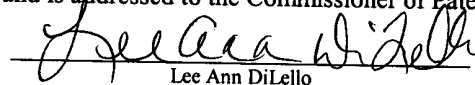
Filed: September 18, 2001

Title: SOURCE REAGENT COMPOSITIONS FOR CVD FORMATION OF GATE  
DIELECTRIC THIN FILMS USING AMIDE PRECURSORS AND METHOD OF  
USING SAME

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SECOND SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
Washington, D.C. 20231

Sir:

Pursuant to 37 C.F.R. §1.56, the attention of the Patent and Trademark Office is hereby directed to the reference(s) listed on the attached PTO-1449. It is respectfully requested that the information be expressly considered during the prosecution of this application, and that the reference(s) be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

- ☒ 1. This Information Disclosure Statement is being filed within three months of the U.S. filing date OR before the mailing date of a first Office Action on the merits. No certification or fee is required in accordance with 37 CFR § 1.56 and § 1.97(b).

- ☐ 2. This Information Disclosure Statement is being filed more than three months after the U.S. filing date AND after the mailing date of the first Office Action on the merits, but before the mailing date of a Final Rejection or Notice of Allowance.
- ☐ a. I hereby certify that each item of information contained in this Information Disclosure Statement was the first citation of such item by a foreign patent office in a counterpart foreign application, which occurred no more than three months prior to filing the Information Disclosure Statement. 37 C.F.R. §1.97(e)(1).
- ☐ b. I hereby certify that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. §1.97(e)(2).
- ☐ c. Please charge deposit account No. 50-0860 in the amount of \$180 in payment of the fee under 37 C.F.R. §1.17(p). Please credit or debit Deposit Account No. 50-0860 as needed to ensure consideration of the disclosed information.
- ☐ 3. This Information Disclosure Statement is being filed more than three months after the U.S. filing date and after the mailing date of a Final Rejection or Notice of Allowance, but before payment of the Issue Fee. Applicant(s) hereby petition(s) that the Information Disclosure Statement be considered. Attached is our check no. \_\_\_\_ in the amount of \$130.00 in payment of the petition fee under 37 C.F.R. §1.17(i)(1). Please credit or debit Deposit Account No. \_\_\_\_ as needed to ensure consideration of the disclosed information. Two duplicate copies of this paper are attached.
- ☐ a. I hereby certify that each item of information contained in this Information Disclosure Statement was the first citation of such item by a foreign patent office in a counterpart foreign application which occurred no more than three months prior to filing the Information Disclosure Statement. 37 C.F.R. §1.97(e)(1).
- ☐ b. I hereby certify that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. §1.97(e)(2).
- ☐ 4. (other):

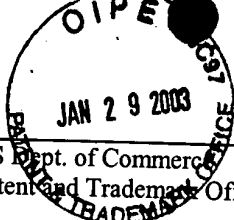
Applicant does not believe that any additional fee is due in connection with the foregoing. However, any deficiencies may be charged to the deposit account 50-0860.

Respectfully submitted,

A handwritten signature in cursive script, appearing to read "Margaret Chappuis".

Margaret Chappuis  
Registration No. 45,735  
Agent for Applicant

Date: January 24, 2003  
Advanced Technology Materials, Inc.  
7 Commerce Drive  
Danbury, CT 06810  
Agent Ref: 510-CIP



FORM PTO-1449

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ATMI-510-CIP

09/954,831

## INFORMATION DISCLOSURE STATEMENT

(use several sheets if necessary)

APPLICANT

Thomas H. Baum, et al.

FILING DATE

September 18, 2001

GROUP

2811

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		PATENT NUMBER	ISSUE DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	5,417,823	5/1995	Narula, et al.			
	AB	5,583,205	12/1996	Rees, Jr., William S.			
	AC	5,726,294	3/1998	Rees, Jr., William S.			
	AD	6,348,412 B1	2/2002	Vaartstra, Brian A.			

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	PUBLICATION DATE	COUNTRY	CLASS	SUBCLAS S	TRANSLATION YES	NO
							X (abstract only)	
	AE	WO/00/67300	11/2000	WIPO	H01L	21/00		

## OTHER DOCUMENTS (Including Author, Title, Journal-Date, Page Number, Etc.)

Continue on Page

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.